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PTO/SB/05 (03-01)

EL789901767US

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UTILITY **PATENT APPLICATION TRANSMITTAL**

10602/35345 Attorney Docket No. MALME, et al. First Inventor System and Methods for Aggregation and Liquidation of Curtailment Energy Resources

(Only for new nonprovisional applications under 37 CFR 1.53(b))

ADDITION	TION ELEMENTS	Assistant Commissioner for Patents		
APPLICATION ELEMENTS		ADDRESS TO: Box Patent Application		
	cerning utility patent application contents			
	orm (e.g., PTO/SB/17) duplicate for fee processing)	7. CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)		
2. Applicant claims s See 37 CFR 1.27		Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)		
3. Specification (preferred arrangement)	[Total Pages 45]	a. Computer Readable Form (CRF)		
- Descriptive title	of the invention	b. Specification Sequence Listing on:		
- Cross Reference	e to Related Applications arding Fed sponsored R & D	i. CD-ROM or CD-R (2 copies); or		
	equence listing, a table,			
or a computer program listing appendix - Background of the Invention		i i. L paper c. Statements verifying identity of above copies		
- Brief Summarv	of the Invention	ACCOMPANYING APPLICATION PARTS		
- Brief Description - Detailed Description	n of the Drawings (if filed)	Assignment Papers (cover sheet & document(s))		
- Claim(s)		37 CFR 3.73(b) Statement Power of		
- Abstract of the	Disclosure	10. (when there is an assignee) Attorney		
4. X Drawing(s) (35 U	S.C. 113) [Total Sheets 20	11. English Translation Document (if applicable)		
5. Oath or Declaration	[Total Pages 4	12. Information Disclosure Statement (IDS)/PTO-1449 Copies of IDS		
a. Newly execu	uted (original or copy)	13. Preliminary Amendment		
. Copy from a	prior application (37 CFR 1.63 (d)) tion/divisional with Box 18 completed)	Return Receipt Postcard (MPEP 503)		
	ION OF INVENTOR(S)	(Should be specifically itemized) 15. Certified Copy of Priority Document(s)		
Signed sta	tement attached deleting inventor(s)	(if foreign priority is claimed)		
	he prior application, see 37 CFR and 1.33(b).	16. Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35		
		or its equivalent.		
6 Application Data Sheet. See 37 CFR 1.76		17. Other:		
18. If a CONTINUING APPLI	CATION, check appropriate box, and su	pply the requisite information below and in a preliminary amendment		
or in an Application Data She				
Continuation	Divisional Continuation-in-part (CIP			
Prior application information: For CONTINUATION OR DIVISI	ExaminerONAL APPS only: The entire disclosure of	Group Art Unit:		
Box 5b, is considered a part of	the disclosure of the accompanying conti	nuation or divisional application and is hereby incorporated by reference		
		ertently omitted from the submitted application parts. DENCE ADDRESS		
12	24728	SENGE ADDRESS		
Customer Number or Bar Co		or Correspondence address below		
Name				
Address				
City		State Zip Code		
Country	United States Te	lephone Fax		
Name (Print/Type)	Brian J. Anderson	Registration No. (Attorney/Agent) 43,470		
Signature	211	9/1 2 /01		
Ungriature		Date ''/ % '''		

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete his form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.



Date

24728 PATENT - TRADEMARK OFFICE

PTO/SB/17 (09-00)

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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

1,126 TOTAL AMOUNT OF PAYMENT

Complete if Known				
Application Number	TBA			
Filing Date	9/18/01			
First Named Inventor	MALME, et al.			
Examiner Name	TBA			
Group Art Unit	TBA			
Attorney Docket No.	10602/35345			

METHOD OF PAYMENT	FEE CALCULATION (continued)		
1. The Commissioner is hereby authorized to charge	3. ADDITIONAL FEES		
Deposit Account	Large Entity Fee Fee Fee Fee Description Code (\$) Code (\$)	Fee Paid	
Number	105 130 205 65 Surcharge - late filing fee or oath		
Deposit Account Name	127 50 227 25 Surcharge - late provisional filing fee or cover sheet		
Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17	139 130 139 130 Non-English specification		
Applicant claims small entity status.	147 2,520 147 2,520 For filing a request for ex parte reexamination		
See 37 CFR 1.27	112 920* 112 920* Requesting publication of SIR prior to		
2. X Payment Enclosed: X Check Credit card Only Other	Examiner action 113 1,840* 113 1,840* Requesting publication of SIR after Examiner action		
Orger — Orger	115 110 215 55 Extension for reply within first month		
FEE CALCULATION	116 390 216 195 Extension for reply within second month		
1. BASIC FILING FEE	117 890 217 445 Extension for reply within third month		
Large Entity Small Entity Fee Fee Fee Fee Description	118 1,390 218 695 Extension for reply within fourth month		
Code (\$) Code (\$) Fee Paid	128 1,890 228 945 Extension for reply within fifth month		
101 710 201 355 Utility filing fee 710	119 310 219 155 Notice of Appeal		
106 320 206 160 Design filing fee	120 310 220 155 Filing a brief in support of an appeal		
107 490 207 245 Plant filing fee	121 270 221 135 Request for oral hearing		
108 710 208 355 Reissue filing fee	138 1,510 138 1,510 Petition to institute a public use proceeding		
114 150 214 75 Provisional filing fee	140 110 240 55 Petition to revive - unavoidable		
SUBTOTAL (1) (\$) 710	141 1,240 241 620 Petition to revive - unintentional		
2. EXTRA CLAIM FEES	142 1,240 242 620 Utility issue fee (or reissue)		
Fee from Extra Claims below Fee Paid	143 440 243 220 Design issue fee		
Total Claims 32 -20** = 12 X 18 = 216	144 600 244 300 Plant issue fee		
Independent 5 - 3** = 2 X 80 = 160	122 130 122 130 Petitions to the Commissioner		
Multiple Dependent = 0	123 50 123 50 Petitions related to provisional applications		
	126 240 126 240 Submission of Information Disclosure Stmt	——	
Large Entity Small Entity Fee Fee Fee Fee Fee Description Code (\$) Code (\$)	581 40 581 40 Recording each patent assignment per property (times number of properties)	40	
103 18 203 9 Claims in excess of 20	146 710 246 355 Filing a submission after final rejection (37 CFR § 1.129(a))		
102 80 202 40 Independent claims in excess of 3	149 710 249 355 For each additional invention to be		
. 104 270 204 135 Multiple dependent claim, if not paid	examined (37 CFR § 1.129(b))		
109 80 209 40 ** Reissue independent claims over original patent	179 710 279 355 Request for Continued Examination (RCE)		
110 18 210 9 ** Reissue claims in excess of 20 and over original patent	169 900 169 900 Request for expedited examination of a design application		
SUBTOTAL (2) (\$) 376	Other fee (specify)		
**or number previously paid, if greater; For Reissues, see above	*Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$)	40	
SUBMITTED BY	Complete (if applicable)		
Name (PrintiType) Brian J. Anderson	Registration No. (Attorney/Agent) 43,470 Telephone (404) 504	4-7748	

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9/ / 🖁 /01

Date



24728 PATENT – TRADEMARK OFFICE

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	MALME, ETAL.) Group No.:	TBA
Serial No.:	TBA) Examiner:	TBA
Filed:	9/18/01)	
Entitled:	SYSTEM AND METHODS FOR AGGREGATION AND LIQUIDATION OF CURTAILMENT ENERGY RESOURCES))))	

PETITION FOR NONPROVISIONAL PATENT APPLICATION

Commissioner for Patents
BOX NEW APPLICATION

Washington, DC 20231

Dear Sir or Madam:

Your Petitioners, Ross Malme, residing at 3644 Chelsea Crescent, NE, Atlanta, GA 30319 and Peter C. Scarpelli, residing at 575 West Madison, #3410, Chicago, IL 60661, both citizens of the United States of America, hereby submit their Nonprovisional Patent Application for a new and original invention entitled System and Methods for Aggregation and Liquidation of Curtailment Energy Resources, set forth in the specification attached hereto, and they hereby appoint Morris, Manning & Martin, Intellectual Property Group, 1600 Atlanta Financial Center, 3343 Peachtree Road, NE, Atlanta, GA 30326-1044, as their attorneys with full power of substitution and revocation to submit this application and to transact all business in the United States Patent and Trademark Office in connection therewith.

CERTIFICATE OF MAILING BY EXPRESS MAIL

I hereby certify under 37 C.F.R. § 1.10 that this correspondence is being deposited with the United States Postal Service under Express Mail Label No. EL789901767US in an envelope addressed to: Commissioner for Patents, BOX PATENT APPLICATION - FEE, Washington, DC 20231 on September 14, 2001.

Brian J. Anderson – Reg. No. 43,470

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Respectfully submitted,

MORRIS, MANNING & MARTIN, LLP

Brian J. Anderson

Reg. No. - 43,470